Sector/#3

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PATENT & TRADEMARK OFFICE
NOV 20 2000
JC123

| 0001/PTO Rev. 10/95 U.S. Department of Commerce Patent and Trademark Office | | | |
|---|---|---|---|
| **TRANSMITTAL FORM** *(to be used for all correspondence during pendency of filed application)* | | Application Number | 09/615,383 |
| | | Filing Date | July 13, 2000 |
| | | First Named Inventor | Marc S. Casalaina |
| | | Group Art Unit Number | 2782 |
| | | Examiner Name | Unknown |
| Total Number of Pages in This Submission | 11 | Attorney Docket Number | 21113-04968 |

**ENCLOSURES** *(check all that apply)*

- ☒ Fee Transmittal Form (in duplicate)
  - ☒ Check Enclosed
- ☒ Return Receipt Postcard
- ☒ Response to Notice to File Missing Parts
- ☐ Assignment & Recordation Cover Sheet
- ☒ Declaration
- ☒ Small Entity Statement
- ☐ Information Disclosure Statement & PTO-1449
  - ☐ Copies of IDS Cited References
- ☐ Request for Corrected Filing Receipt
- ☐ Request for Correction of Recorded Assignment
- ☐ Amendment/Response: [ ] Page(s)
  - ☐ After Final
- ☐ Status Request
- ☐ Revocation and Power of Attorney
- ☐ Issue Fee Transmittal
- ☐ Letter to Chief Draftsperson
- ☐ Formal Drawing(s):
  - [ ] Sheet(s) of Figure(s) [ ]
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group *(Appeal Notice, Brief, Reply Brief)*
- ☐ Certified Copy of Priority Document(s)
- ☐ After Allowance Communication to Group
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____

**REMARKS:**

**SIGNATURE OF ATTORNEY OR AGENT**

| Signature: | Neil F. Maloney. | | |
|---|---|---|---|
| Attorney/Reg. No.: | Neil F. Maloney, Reg. No. 42,833 | Dated: | November 15, 2000 |

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

| Signature: | Neil F. Maloney. | | |
|---|---|---|---|
| Typed or Printed Name: | Neil F. Maloney | Dated: | November 15, 2000 |
| Express Mail Mailing Number *(optional)*: | | | |

PTO/SB/17 (10-00)(modified)
Approved for use through 09/29/01, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)
Rev. 10/2000

U.S. Department of Commerce
Patent and Trademark Office

# FEE TRANSMITTAL

## TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **($) 653.00**

| Complete if Known | |
|---|---|
| Application Number | 09/615,383 |
| Filing Date | July 13, 2000 |
| First Named Inventor | Marc S. Casalaina |
| Group Art Unit | 2782 |
| Examiner Name | Unknown |
| Attorney Docket Number | 21113-04968 |

OIPE 3600 NOV 20 2000 PATENT & TRADEMARK OFFICE

## METHOD OF PAYMENT

**1. The Commissioner is hereby authorized to:**

☐ Charge the indicated fees to the below mentioned deposit account.

☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †

☒ Applicant claims small entity status See 37 CFR 1.27

**Deposit Account Number: 19-2555**
**Deposit Account Name: FENWICK & WEST LLP**

**A Duplicate Copy of this authorization is attached**

**2. ☒ Payment Enclosed:**
☒ Check ☐ Credit Card ☐ Other

## FEE CALCULATION (fees effective 10/01/2000)

### 1. FILING FEE

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|---|---|---|---|
| 101/$710 | 201/$355 | Utility Filing | 345 |
| 106/$320 | 206/$160 | Design Filing | |
| 108/$710 | 208/$355 | Reissue | |
| 114/$150 | 214/$75 | Provisional Filing | |

**SUBTOTAL (1) ($) 345**

### 2. CLAIMS

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description |
|---|---|---|
| 103/$18 | 203/$9 | Claims in excess of 20 |
| 102/$80 | 202/$40 | Independent claims in excess of 3 |
| 104/$270 | 204/$135 | Multiple dependent claim |
| 109/$80 | 209/$40 | Reissue independent claims over original patent |
| 110/$18 | 210/$9 | Reissue claims in excess of 20 and over original patent |

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|---|---|---|---|
| 105/$130 | 205/$65 | Surcharge - late filing fee or oath | 65 |
| 127/$50 | 227/$25 | Surcharge-late provisional filing fee or cover sheet | |
| 147/$2,520 | 147/$2,520 | For filing a request for reexamination | |
| 115/$110 | 215/$55 | Extension for response within first month† | |
| 116/$390 | 216/$195 | Extension for response within second month† | |
| 117/$890 | 217/$445 | Extension for response within third month† | |
| 118/$1,390 | 218/$695 | Extension for response within fourth month† | |
| 128/$1,890 | 228/$945 | Extension for response within fifth month† | |
| 119/$310 | 219/$155 | Notice of Appeal | |
| 141/$1,240 | 241/$620 | Petition to revive unintentionally abandoned application | |
| 142/$1,240 | 242/$620 | Utility Issue Fee (Or Reissue) | |
| 143/$440 | 243/$220 | Design Issue Fee | |
| 122/$130 | 122/$130 | Petitions to the Commissioner | |
| 126/$180 | 126/$180 | Submission of Information Disclosure Statement | |
| 179/$710 | 279/$355 | Request for Continued Examination (RCE) | |
| 581/$40 | 581/$40 | Recording each patent assignment per property (times number of properties) | |
| 146/$710 | 246/$355 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149/$710 | 249/$355 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| | | Other fee *(specify)*: | |
| | | Other fee *(specify)*: | |

**SUBTOTAL (3) ($) 65**

| For | (Col. 1) No. of Existing Claims | | (Col. 2) Highest No. Previously Paid For | | (Col. 3) Extra** | | Fee | | Fee Due |
|---|---|---|---|---|---|---|---|---|---|
| TOTAL | 21 | minus* | 20 or 0 | = | 1 | x | 9 | = | 9 |
| INDEP | 9 | minus* | 3 or 0 | = | 6 | x | 39 | = | 234 |
| [ ] First presentation of multiple dependent claim | | | | | | | | = | |

* *Subtract the greater number of Col. 2*
** *If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3*

**SUBTOTAL (2) ($) 243**

| SUBMITTED BY | | Complete (if applicable) | |
|---|---|---|---|
| Typed or Printed Name | | Reg. Number | 42,833 |
| Signature | Neil F. Maloney | Date | November 15 , 2000 |

† *Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby*

receipt

FILE COPY

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

RECEIVED
FEB -6 2001
TC 2100 MAILROOM

OIPE
NOV 20 2000
PATENT & TRADEMARK OFFICE
JC13

0001/PTO
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

# TRANSMITTAL FORM

*(to be used for all correspondence during pendency of filed application)*

| | |
|---|---|
| Application Number | 09/615,383 |
| Filing Date | July 13, 2000 |
| First Named Inventor | Marc S. Casalaina |
| Group Art Unit Number | 2782 |
| Examiner Name | Unknown |
| Total Number of Pages in This Submission | 6 |
| Attorney Docket Number | 21113-04968 |

## ENCLOSURES *(check all that apply)*

- ☐ Fee Transmittal Form (in duplicate)
  - ☐ Check Enclosed
- ☒ Return Receipt Postcard
- ☐ Response to Notice to File Missing Parts
- ☐ Assignment & Recordation Cover Sheet
- ☒ Declaration (copy)
- ☐ Small Entity Statement
- ☐ Information Disclosure Statement & PTO-1449
  - ☐ Copies of IDS Cited References
- ☒ Request for Corrected Filing Receipt
- ☐ Request for Correction of Recorded Assignment
- ☐ Amendment/Response: [ ] Page(s)
  - ☐ After Final
- ☐ Status Request
- ☐ Revocation and Power of Attorney
- ☐ Issue Fee Transmittal
- ☐ Letter to Chief Draftsperson
- ☐ Formal Drawing(s):
  - [ ] Sheet(s) of Figure(s) [ ]
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group *(Appeal Notice, Brief, Reply Brief)*
- ☐ Certified Copy of Priority Document(s)
- ☐ After Allowance Communication to Group
- ☒ Red-inked copy of OFR
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____
- ☐ _____

**REMARKS:**

## SIGNATURE OF ATTORNEY OR AGENT

| | | | |
|---|---|---|---|
| Signature: | Neil F. Maloney | | |
| Attorney/Reg. No.: | Neil F. Maloney, Reg. No. 42,833 | Dated: | November 15, 2000 |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

| | | | |
|---|---|---|---|
| Signature: | Neil F. Maloney | | |
| Typed or Printed Name: | Neil F. Maloney | Dated: | November 15, 2000 |
| Express Mail Mailing Number *(optional)*: | | | |

OIPE
NOV 20 2000
PATENT & TRADEMARK OFFICE
JC13

RECEIVED
FEB -6 2001
TC 2100 MAILROOM

**IN THE UNITED STATES**
**PATENT AND TRADEMARK OFFICE**

| | |
|---|---|
| APPLICANT: | Marc S. Casalaina |
| APPLICATION NO.: | 09/615,383 |
| FILING DATE: | July 13, 2000 |
| TITLE: | DELTA CACHING |
| EXAMINER: | Unknown |
| GROUP ART UNIT: | 2782 |
| ATTY. DKT. NO.: | 21113-04968 |

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Initial Patent Examination, Customer Service Center, Assistant Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: November 15, 2000 By: Neil F. Maloney.
Neil F. Maloney, Reg. No. 42,833

OFFICE OF INITIAL PATENT EXAMINER
CUSTOMER SERVICE CENTER
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:

Enclosed is a red-inked copy of the Official Filing Receipt. It contains the following error:

1. The Applicant's middle initial is erroneously stated as "C." Please correct Applicant's middle initial to "S" as evidenced by the executed Declaration, a copy of which is enclosed.

Please issue a corrected Filing Receipt rectifying this error.

Respectfully submitted,
MARC S. CASALAINA

Dated: November 15, 2000 By: Neil F. Maloney.
Neil F. Maloney, Reg. No. 42,833
Attorney for Applicant
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2477
Fax: (415) 281-1350

OIPE JC13
NOV 20 2000
PATENT & TRADEMARK OFFICE

RECEIVED
FEB -6 2001
TC 2100 MAIL ROOM

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|---|---|---|---|---|---|---|---|
| 09/615,383 | 07/13/2000 | 2782 | 0 | 21113-04968 | 4 | 21 | 9 |

Neil F Maloney
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306

RECEIVED
OCT 30 2000
FENWICK WEST LLP

**FILING RECEIPT**

*OC000000005478371*

Date Mailed: 10/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Marc S. Casalaina, San Jose, CA ;

**Continuing Data as Claimed by Applicant**

**Foreign Applications**

**If Required, Foreign Filing License Granted** 08/28/2000

**Title**

Delta caching

**Preliminary Class**

710

**Data entry by :** LIEN, LUI **Team :** OIPE **Date:** 10/17/2000

# FILE COPY

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

Bib Data Sheet

| SERIAL NUMBER | FILING DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|---|---|---|---|---|
| 09/615,383 | 07/13/2000<br>RULE _ | 710 | 2782 | 21113-04968 |

**APPLICANTS**

Marc S. Casalaina, San Jose, CA ;

** CONTINUING DATA **********

** FOREIGN APPLICATIONS **********

**IF REQUIRED, FOREIGN FILING LICENSE GRANTED** ** 08/28/2000

| Foreign Priority claimed | STATE OR COUNTRY | SHEETS DRAWING | TOTAL CLAIMS | INDEPENDENT CLAIMS |
|---|---|---|---|---|
| ☐ yes ☐ no | CA | 4 | 21 | 9 |
| 35 USC 119 (a-d) conditions met ☐ yes ☐ no ☐ Met after Allowance | | | | |
| Verified and Acknowledged Examiner's Signature Initials | | | | |

**ADDRESS**

Neil F Maloney
Fenwick & West LLP
Two Palo Alto Square
Palo Alto ,CA 94306

**TITLE**

Delta caching

| FILING FEE RECEIVED | | |
|---|---|---|
| 669 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following: | ☐ All Fees<br>☐ 1.16 Fees ( Filing )<br>☐ 1.17 Fees ( Processing Ext. of time )<br>☐ 1.18 Fees ( Issue )<br>☐ Other _____<br>☐ Credit |

PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| APPLICANT: | Marc S. Casalaina |
| APPLICATION NO.: | 09/615,383 |
| FILING DATE: | July 13, 2000 |
| TITLE: | DELTA CACHING |
| EXAMINER: | Unknown |
| GROUP ART UNIT: | 2782 |
| ATTY. DKT. NO.: | 21113-04968 |

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: November 15, 2000 By: _____
Neil F. Maloney, Reg. No. 42,833

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

SIR:

Responsive to Notice to File Missing Parts dated October 17, 2000 received in the above-identified patent application, enclosed are:

☒ a copy of the Notice to File Missing Parts;

☒ an original, signed Declaration;

☒ a signed Verified Statement

☐ Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large entity as indicated in the Notice to File Missing Parts is inappropriate

and that the filing fee submitted with this application as originally filed is sufficient to cover the filing fees for this application;

☒ payment in the amount of $653.00 for the application filing fee, additional claims fee, and missing parts surcharge; and

☐ Other:

Respectfully submitted,

MARC C. CASALAINA

Dated: November 15, 2000

By: _____

Neil F. Maloney, Reg. No. 42,833
Attorney for Applicant
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2477
Fax: (415) 281-1350

3

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|---|---|---|---|
| 09/615,383 | 07/13/2000 | Marc C. Casalaina | 21113-04968 |

Neil F Maloney
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306

**FORMALITIES LETTER**

*OC000000005478372*

Date Mailed: 10/17/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  *Applicant must submit* **$ 690** *to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is $486.
  - **$18** for **1** total claims over 20.
  - **$468** for **6** independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.

- **The balance due by applicant is $ 1306.**

---

*A copy of this notice MUST be returned with the reply.*

11/24/2000 GTEFFERA 00000027 192555 09615383

| | | |
|---|---|---|
| 01 FC:201 | | 355.00 OP |
| 02 FC:205 | | 65.00 OP |
| 03 FC:203 | | 9.00 OP |
| 04 FC:202 | 16.00 CH | 224.00 OP |

Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE